

## COLLEGE OF LAW

### **Retention, Promotion, and Tenure (RPT) Statement for Tenure-line Faculty**

#### **Revision 1: Minor Edits to Timeline and Removal of Gendered Language**

Approved by College of Law Tenure-line Faculty: February 14, 2023

Approved by Dean: February 14, 2023

Approved by Senate Faculty Review Standards Committee on March 17, 2023 and the Senior Vice President on March 24, 2023, for implementation on March 23, 2023.

#### **Revision 0: 2017 Submission**

Approved by College of Law Tenure-line Faculty: November 7, 2017 Approved by Dean: November 8, 2017

Approved by Senate Faculty Review Standards Committee on November 15, 2017 and the Senior Vice President on January 1, 2018, for implementation on July 1, 2018.

This document serves as the College of Law's Statement of RPT criteria, standards, evidence and procedures required by University Policy. This statement along with relevant University Policies, Policy 6-303, found at <http://regulations.utah.edu/academics/6-303.php>, and Policy 6-311, found at <http://regulations.utah.edu/academics/6-311.php>, govern the retention, promotion, and tenure process.

### **Mission Statement**

The mission of the S.J. Quinney College of Law at the University of Utah is to achieve academic excellence in the professional education of lawyers, to advance knowledge through the dissemination of high quality legal scholarship, and to perform valuable public service to the University, the state of Utah, our nation, and the global community. It is the law school's further mission to maintain and enhance our national presence as a preeminent institution of legal education, while recognizing our special obligation as the state law school to the Utah community and the Utah State Bar.

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## **1. Effective Date and Application to Existing Faculty**

The revised RPT criteria, standards, evidence, and procedures contained in this Statement are effective as of July 1, 2018. All faculty member RPT candidates appointed on or after this date will be considered under this Statement.

Candidates whose appointments began prior to that date who are reviewed for retention, promotion, or tenure will have the option of choosing to be reviewed under either (1) the prior RPT requirements that were in place at the time of their appointment or (2) this new Statement. This Statement will apply unless the candidate's choice of the prior requirements is communicated to the Dean by signed letter before review materials are sent to evaluators for external evaluations.

## **2. Informal and Formal Reviews**

### **2.1 Timing of Reviews and Length of Probationary Period**

a. Timing. To ensure the continued quality performance of faculty members and make decisions about retention, promotion, and tenure, the College of Law will conduct either informal or formal reviews of its tenure-track candidates in each year of their probationary period as indicated in Table 1 below.

b. Normal probationary period. The College of Law appoints entry-level faculty members at the rank of Associate Professor without tenure. After a probationary period, it reviews candidates simultaneously for both the granting of tenure and promotion to the rank of Professor, based on the same standards. The normal probationary period for a candidate appointed without tenure at the rank of Associate Professor is five years. Candidates with a five-year probationary period normally undergo one formal mid-probationary retention review, in the third year.

**Table 1: Normal Review Schedule**

<b>Rank at Appointment</b>	<b>Year of Informal Review</b>	<b>Year of Formal Review</b>
Associate Professor (appointed without tenure)	1 <sup>st</sup> , 2 <sup>nd</sup> , 4 <sup>th</sup>	3 <sup>rd</sup> , 5 <sup>th</sup>

If a tenure-track faculty member does not demonstrate clearly adequate progress to the reviewers in an informal review, an early formal review may be “triggered” by the College RPT Advisory Committee or the Dean, according to University Policy.

The College of Law will not hire candidates at the rank of Professor without tenure. Lateral candidates that are to hold the rank of Professor will be evaluated simultaneously for tenure and the rank of Professor, based on the same standards.

c. Shortening or extending the probationary period. Candidates may request early tenure reviews (i.e., shortening the otherwise applicable probationary period) on the grounds described in and by following the procedures provided for in University Policy. Because early review cases require a candidate either to have qualifying prior service or to have made truly extraordinary progress, few requests are made and few are granted. Candidates are therefore encouraged to consult with the RPT Advisory Committee Chair, the Dean, and senior colleagues before requesting an early tenure review.

If the candidate has had an authorized extension of the probationary period (e.g., for medical or parental leave), the years of the formal retention review and the mandatory review for tenure shall be adjusted accordingly. Extensions of the probationary period authorized by University Policies may postpone formal reviews, but informal reviews will occur in any year in which a formal review is not held.

## **2.2 Informal Reviews**

Informal reviews provide constructive feedback on progress and guidance on RPT expectations to candidates. A primary function of the informal review is to provide advice in developing the file that will be made available for the formal review process, with due attention to the materials appropriate to each of the three areas of evaluation: research; teaching; and service to the profession, university, and public.

## **2.3 Triggering Formal Retention Reviews**

If in the context of an informal review in which the candidate does not demonstrate clearly adequate progress, the Dean or a majority of the RPT Advisory Committee members may vote to conduct a formal “triggered” review. The formal review shall occur the following fall unless a majority of the RPT Advisory Committee votes to proceed with the review in the current academic year. Such a review, however, must not be conducted sooner than 30 days after written notice of the review is provided to the candidate. A triggered formal review shall include external evaluator letters unless a majority of the RPT Advisory Committee votes that quality of research is not at issue in the review.

## **3. RPT Guidelines**

A faculty member’s stature is based on an assessment of achievements in the area of faculty responsibility and the three functions of faculty members, which are referred to as criteria in University Policy: (1) research, (2) teaching, and (3) service. Summary ratings of performance in each of these three areas serve as the standards for retention, promotion, and tenure. University Policy identifies a three-level scale of standards: excellent, effective, and not satisfactory.

A commitment to research, teaching, and service is a career-long obligation of every tenure-line faculty member. In making promotion and tenure decisions, the College of Law assesses the likelihood that a candidate will continue to be a productive and engaged scholar and teacher, and contributor through service. The College evaluates not only the quality and quantity of the candidate’s past research, teaching, and service, but also the candidate’s commitment to continued excellence in research and teaching, and to continued service, as essential parts of the

academic life. The grant of tenure is founded on a predictive assessment about future performance based on evidence of the candidate's accomplishments in research, teaching, and service at the time the tenure decision is made.

The criteria and standards for retention during the probationary period, and tenure and promotion to the rank of Professor, are listed here. Accomplishments in one area do not compensate for substandard performance in another area. The same criteria and standards apply to both formal and informal reviews. Evaluations of candidates are based on the evidence provided regarding a candidate's research, teaching, and service and are described in subsequent sections. University Policy allows a candidate's conduct as a responsible member of the faculty to be taken into consideration during a review. As a result, one's failure to abide by the Faculty Code and the high professional standards required of a law faculty member may be considered in determining whether one will be retained, promoted, or tenured.

### **3.1 Summary of RPT Standards**

Retention: A candidate for retention must demonstrate a reasonable potential for meeting the standards established for tenure and promotion to the rank of Professor. For retention in the third year, a candidate must demonstrate substantial progress toward meeting the standards for research, teaching, and service that will apply in the formal tenure and promotion review.

Tenure and Promotion to Rank of Professor: The College of Law reviews candidates simultaneously for both the granting of tenure and promotion to the rank of Professor, based on the same standards. A candidate for tenure and promotion must achieve ratings of at least effective performance in research, teaching, and service, and one of the following ratings: (a) excellent performance in research; or (b) excellent performance in teaching.

### **3.2 Evaluation of Research**

Judgments about a candidate's research are based on both the quality and quantity of research and their relevance to the academic community. The characteristics of productive research, however, differ depending on the candidate's area(s) of specialization and professional goals. Assessments of faculty research in the RPT process reflect professional judgments that take into account the quality and quantity of contributions, and the professional context of the candidate's research.

#### **a. Description of research**

We expect candidates to contribute significantly and distinctly to the development and dissemination of new knowledge. In order to do so, we expect candidates to produce high quality scholarly work at a rate consistent with these standards. Quantity of research is not judged by simple publication counts or impact factors. A series of publications over time that represents sustained research in one or more topic areas is expected. We also expect the candidate to demonstrate that their research program is on a positive, productive, and sustainable trajectory over time.

The length of a substantial article in legal academia is typically much longer than in other fields.

The College of Law's expectations for the length and number of publications will remain consistent with the expectations of its peers. Currently, the standards at those schools anticipate that a candidate for tenure and promotion will have completed an average of at least one substantial article for publication in law reviews or peer-reviewed journals in other disciplines, or the equivalent in other publications, for every 1.5 years of service in a tenure-line role.<sup>1</sup> A majority of the candidate's completed works must be published or accepted for publication before the candidate's formal tenure and promotion review.

In evaluating the quantity of a candidate's research, the College will consider all scholarly work substantially written during the period in which the candidate has been a tenure-line faculty member of the College of Law (for entry-level appointments) or a tenure-line faculty member of any law school (for lateral appointments).

The candidate's earlier publications may be considered relevant to the College's evaluation of the quality of the candidate's research, but are not relevant to the College's evaluation of the quantity of the candidate's research. Exceptional productivity may also be considered, but is neither necessary nor sufficient for a candidate to achieve a rating of effective or excellent performance in research on the rating scale described below.

In evaluating the quality of a candidate's research, the College of Law will consider all of the following criteria (which are listed in alphabetical order): the coherence of the candidate's research agenda in at least one topic area; the comprehensive nature of the work; the impact of the work on others in the field; the integration of understanding or information from other scholarly or technical disciplines; the originality of the viewpoint expressed; the national or international reputation of the research in the field; the rigor of the analysis; the significance of the subject matter; the soundness and thoroughness of the research; and the overall contribution to legal knowledge or thought. The following types of evidence may be considered relevant to the quality of a candidate's research, but are neither essential nor dispositive: citations in judicial opinions, casebooks, articles and other scholarly or legal works; placement in prominent journals; republication in anthologies or casebooks; research awards, fellowships, grants, and prizes; selection of research papers for conferences and symposia.

The College of Law values a wide range of research that is related to or relevant to law, including co-authored, cross-disciplinary, and empirical work. Accordingly, the College will consider the following publications as the equivalent of articles published in law reviews and peer-reviewed journals in other disciplines, provided that the quality and quantity of research completed is comparable: book chapters; book reviews; essays; monographs; symposium contributions; and treatises. This can also include casebooks so long as the effort identified is not also attributed to teaching accomplishments. In addition, the College of Law may consider the following works as supplements to, but not substitutes for, the publication of articles in law review and peer-reviewed articles: grant applications; institutional white papers; legal briefs

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<sup>1</sup> This time period does not include any authorized extensions of the probationary period granted pursuant to University policy (*e.g.*, for medical or parental leave). *See supra* 2.1.c.

(including amicus briefs); and testimony before legislative bodies. In the case of co-authored publications, the College of Law will solicit letters from co-authors estimating the nature, extent, and proportion of the candidate's contribution to the co-authored work.

b. Summary Rating Scale for Research

Ratings on the three-point scale below reflect the joint consideration of quantity and quality of research as described above.

*Excellent:* The candidate has made substantial, sustained contributions in one or more topic areas of research. The quality and quantity of research reflect a coherent agenda in at least one topic area.

*Effective:* The candidate has made acceptable, sustained contributions in one or more topic areas of research. The quality and quantity of research reflect a coherent agenda of work and suggest that significant contributions will be made over time.

*Not Satisfactory:* The candidate has made insufficient contributions in research.

### **3.3 Evaluation of Teaching**

Within the University system, the term teaching refers to regularly scheduled instruction, curriculum and program development, directing undergraduate and/or graduate student work, and counseling and advising of students in general. There are therefore three components of teaching: (1) course instruction, (2) curriculum and program development, and (3) student advising and mentoring.

Teaching is core to the mission of the College of Law as a professional school, and the College prides itself in its long tradition of teaching excellence. Devotion to our students, inculcation of professionalism and the ability to engage in analytic thought, and a sharing across generations of the public interest-oriented nature of the legal profession are all key aspects of teaching within the College. Teaching occurs in the College in a multitude of ways, including but not limited to direct classroom instruction, supervision of clinical placements and work, lawyering skills and practical training, supervision of individualized academic work, and mentoring. The College values excellence in all of these aspects, as well as curricular and pedagogical innovation, assisting in the reshaping of our curriculum as the legal profession evolves, and assuring that each of our students receives the individualized education, assistance, and training they need to pass the bar exam and become a productive member of the profession of law.

In evaluating a candidate's teaching performance, the College of Law will consider the candidate's: ability to communicate effectively; ability to display and provoke critical thinking; ability to organize individual class sessions and the overall course; ability to stimulate interest in the subject; accessibility to students outside of the classroom; depth and breadth of knowledge in the subject taught; effectiveness in designing methods of evaluating student performance; openness to questions and the ability to effectively respond to questions; respect for diverse perspectives, individuals, and groups; selection or creation of appropriate teaching materials; awareness and understanding of contemporary trends in legal education;



willingness to provide mentoring and counseling to students, guidance on writing projects, and supervision and/or support for externships, clinics, academic journals, and moot court programs; and willingness to undertake assignments necessary for students to fulfill their graduation requirements, such as directed research projects, and other activities for the benefit of the law school.

In addition to peer and student evaluations of classroom teaching, the following types of evidence may be considered relevant to a candidate's teaching, but are neither essential nor dispositive: development of effective curricular or pedagogical innovations; invitations to visit other courses in the College of Law, the University, or other universities; participation in continuing legal education for attorneys; participation in conferences, panels, and symposia on teaching; teaching awards, fellowships, grants, and prizes.

a. Course instruction

Course instruction encompasses (a) didactic classroom instruction; (b) online and distance education teaching; (c) the organization and facilitation of seminars and workshops that are related to curriculum needs; and (d) independent instruction involving one or more students on special topics. Specific sources of information to evaluate the candidate's course instruction shall include: (a) the candidate's statement of teaching philosophy as found in their personal statement; (b) peer review of the candidate's syllabi, assignments, and other teaching materials; (c) peer observation of the candidate's course instruction, seminars, workshops, and other public presentations; (d) information from student course evaluations; and (e) Student Advisory Committee (SAC) reports. Other information about teaching, including, for example, a teaching portfolio, teaching awards, or any evaluation of the candidate's teaching done by personnel from the University's Center for Teaching and Learning Excellence (CTLE) may also be included if the candidate so chooses.

b. Curriculum and program development

Academic programs require significant investments of faculty time in ongoing curriculum/program development and maintenance. The contributions of a candidate to such efforts, beyond regular teaching assignments, may therefore be considered as part of contributions in the area of teaching. Examples of these kinds of contributions include the development and teaching of new and novel courses and the publication of textbooks or other teaching materials.

c. Student advising and mentoring

Work with students outside of the classroom is also an important component of teaching. Activities of primary importance in this area include: (1) general student advising and mentoring; (2) chairing and serving on graduate student committees; and (3) including students in research and as co-authors in scholarly work. Contributions in this area are evaluated with respect to both quantity and quality.

d. Summary Rating Scale for Teaching.

Ratings on the three-point scale below reflect the joint consideration of the three components of teaching described above.

*Excellent:* The candidate has made substantial, sustained contributions in areas of course instruction, curriculum/program development, and student advising and mentoring.

*Effective:* The candidate has made acceptable, sustained contributions in teaching. The candidate shows sufficient progress in the areas of course instruction, curriculum/program development, and student advising and mentoring to suggest that the eventual contributions in these areas will be significant.

*Not Satisfactory:* The candidate has made insufficient contributions in teaching.

### **3.4 Evaluation of Service**

Evaluations are made with respect to three areas of service: (1) professional service, (2) University service, and (3) public service. It is not necessary for a candidate to participate equally in all three service areas. Differing participation in the three service areas typically reflects the strengths and interests of individual faculty members.

a. Professional Service

This refers primarily to professional participation at a national or international level. Service in this category can be oriented toward national professional organizations and include such activities as attending professional meetings; holding offices; participating in the organization or operation of conferences; presenting professional workshops; serving as chair, discussant, or reviewer for presentations at professional meetings; and serving on various professional committees, panels, or boards (e.g., accreditation boards). Significant professional service contributions can also include serving as editor, associate editor, editorial review board member, or regular reviewer for scholarly or professional journals.

b. University Service

This category refers to service within the University, including at the levels of the College and overall institution. A candidate's shared-governance activities, including chairing and/or serving on standing and ad hoc committees, councils, and task forces, or serving in administrative positions, at any of these levels, represent valuable University service contributions.

c. Public Service

This category includes service related to the candidate's area of expertise in various local, regional, national, and international public settings and can take many forms, e.g., serving on boards and committees for governmental and/or non-profit organizations, consulting with and/or providing direct service to community agencies as appropriate within University guidelines.

#### d. Summary Rating Scale for Service

Ratings on the three-point scale below reflect the joint consideration of service contributions in the three areas described above.

*Excellent:* The candidate has made substantial, sustained contributions to the profession, the University, and/or the public.

*Effective:* The candidate has made acceptable, sustained contributions in service. The candidate shows sufficient commitment to service in at least one area, suggesting that the eventual contributions of the candidate will be significant.

*Not Satisfactory:* The candidate has made insufficient contributions in service.

## 4. RPT Procedures

### 4.1 Participants

The following are the normal participants in RPT reviews:

- a. Candidate. The faculty member under review for retention, promotion, tenure, or tenure and promotion.
- b. College RPT Advisory Committee. As more fully described below, membership in and voting on the College of Law's RPT Advisory Committee are determined by University Policy. Qualified members of the RPT Advisory Committee may attend, participate in its meetings, and vote on its recommendations. The committee may agree to invite others to participate in the meeting as provided by University Policy and by the College Charter. These other participants may not vote on recommendations.
- c. RPT Advisory Committee Chair. The Chair of the RPT Advisory Committee is a tenured member of the College of Law faculty, elected annually during the Spring Semester, with all tenure-line faculty eligible to participate in the election. The Chair may be reelected annually to multiple consecutive terms.
- d. RPT Ad Hoc Subcommittee. The RPT Ad Hoc Subcommittee prepares a report about an RPT candidate for consideration by the RPT Advisory Committee. The Subcommittee consists of the Chair of the College RPT Advisory Committee (elected annually as described above), and at least two other members appointed by the Dean in consultation with the Associate Dean for Academic Affairs and the Associate Dean for Faculty Development. The members appointed by the Dean presumptively serve three-year terms, although this can be adjusted (as can the number of subcommittee members) by the Dean to accommodate personnel requirements within the College and the number of candidates reviewed in a given year. The members of the subcommittee must be tenured and qualified by rank to vote on the RPT Advisory Committee's recommendations regarding the candidate.

e. Dean. The administrative head of the college, who for a single-department college has the specific RPT responsibilities University Policy 6-303 prescribes for a department chair.

f. Student Advisory Committee (SAC). A committee made up of students in the College of Law.

g. Peer Teaching Reviewers. Peer Teaching Reviewers are tenured faculty members who conduct peer reviews of teaching. They are selected by the RPT Advisory Committee Chair.

h. External Evaluators. These are scholars from outside the University of Utah selected by the RPT Advisory Committee Chair in consultation with the candidate to evaluate the candidate's scholarly work. All external evaluators must have a demonstrated record of scholarly excellence in the candidate's scholarly field, and shall be at or above the academic rank for which the candidate is being considered in this or the next promotion review. An external evaluator shall not be a family member, the advisor or mentor of the candidate, or a close collaborator with the candidate. Candidates will have the opportunity before evaluations are solicited to identify these relationships as well as any conflicts with any potential evaluators.

#### **4.2 Informal Review Procedures**

Informal reviews of tenure-track faculty shall take place in every year of the probationary period in which a formal review is not conducted.

a. Informal Reviews after the First Year. These procedures apply for all informal reviews except for the first year.

The file materials provided by the candidate for an informal review shall normally consist of (i) an up-to-date curriculum vitae and (ii) a personal statement that includes a summary of the candidate's progress to date, a description of teaching philosophy, and a description of current activities and future plans, in research, teaching, and service. The candidate may choose to submit relevant supplementary material. These materials should be submitted by the candidate to the RPT Advisory Committee Chair by September 30 and may be updated until the close of files on October 15.

In the case of a candidate who has a portion of their full-time effort dedicated to a non-tenure-track appointment in another academic department or interdisciplinary academic program, the Dean shall notify the appropriate administrator of the other unit in writing of the informal review by May 15 and invite the unit to submit a report with that unit's perspective on the candidate's progress toward tenure, which should be submitted to the College prior to September 30. Any materials forthcoming from such a unit will be added to the RPT file and a copy provided to the candidate.

Course evaluation results from the University of Utah are added to the file by the RPT Advisory Committee Chair. Evaluations from other institutions must be added by the candidate.

The Student Advisory Committee is not asked to submit a report for and external evaluators are not involved in informal reviews.

The RPT Advisory Committee Chair will assign the members of the Ad Hoc Subcommittee to review the candidate's file, meet with the candidate, and write an ad hoc informal review report that evaluates progress toward tenure. A copy of this report will be provided to the candidate and added to the RPT file. The candidate shall have the opportunity (but not an obligation) to provide a written response to the report within seven business days of receipt of the report.

The RPT Advisory Committee will then meet to discuss the Ad Hoc Subcommittee report and any response of the candidate, and agree on feedback to be provided to the candidate. The RPT Advisory Committee Chair shall prepare a summary report of the meeting, and shall then place in the candidate's file: (i) the Ad Hoc Subcommittee's report, (ii) any response of the candidate, and (iii) the summary report of the RPT Advisory Committee's meeting. After studying the candidate's record, the Dean shall prepare their written recommendation to be included in the file. After all informal reviews, the RPT Advisory Committee Chair and a member of the Ad Hoc Subcommittee shall meet with the candidate to discuss the report and the candidate's progress. The informal review normally concludes at this point. If the Dean or members of the RPT Advisory Committee conclude that circumstances call for triggering a formal review, one shall begin in accord with University Policy.

b. First-Year Informal Review. The first-year informal review will be conducted during the Spring Semester to ensure no serious problems have arisen. The Dean and the RPT Advisory Committee Chair will review the candidate's research, teaching evaluations, and service, and will meet with the candidate to discuss the review and any problems with research, teaching, or service. The RPT Advisory Committee Chair will prepare a brief written report copied to the candidate and placed in the RPT file. The candidate has the opportunity to make a written response to the review, and any response shall be added to the RPT file.

#### **4.3 Formal Review Procedures**

A formal mid-probationary retention review and a formal review for tenure and promotion to the rank of Professor follow the same format and will follow the process described above for informal reviews unless otherwise specified below.

a. The Dean's and the RPT Advisory Committee Chair's Responsibilities. By May 1, the Dean will determine the obligatory RPT reviews for the upcoming academic year and will notify, in writing, the faculty members required to be reviewed, and will invite any other tenured and tenure-track faculty wishing formally to be reviewed for either promotion and/or tenure to so indicate in a letter to the Dean by May 15. For each candidate being reviewed, the Dean will also request nominations from the candidate for external evaluators and request that the candidate sign the waiver/non-waiver form governing the confidentiality of external evaluation letters. By May 30, the Dean will appoint members to the RPT Ad Hoc Subcommittee.

At least three weeks prior to the convening of the RPT Advisory Committee, the RPT Advisory Committee Chair shall invite any interested faculty and staff members in the College to submit written statements for the file of each candidate to be considered.

In the case of a candidate who has a portion of their full-time effort dedicated to a non-tenure-track appointment in another academic department or interdisciplinary academic program, the Dean shall notify the administrator of the other unit in writing of the formal review by May 15 and invite the unit to submit a report with that unit's perspective on the candidate's progress, which should be submitted to the College prior to November 5. Any materials forthcoming from the joint/shared appointment unit will be added to the RPT file and a copy provided to the candidate.

The RPT Advisory Committee Chair will notify the Student Advisory Committee of candidates undergoing formal review by May 30, ensure that they are informed of proper methods for conducting the SAC evaluation, and inform that reports shall be due to the RPT Advisory Committee Chair no later than October 15. The RPT Advisory Committee Chair must provide the candidate's relevant teaching and mentoring materials to the SAC no later than September 1. The SAC is to evaluate teaching and make RPT recommendations in accord with University Policy as appropriate with respect to each candidate to be considered, stating as specifically as possible the reasons for each recommendation. The SAC reports must be written.

b. Peer Teaching Reviews. The RPT Advisory Committee Chair shall ensure that the Peer Teaching Reviewers conduct at least three peer teaching reviews and submit the resulting materials for the candidate's file prior to any formal review.

c. External Evaluators. Candidates must provide a list of five to seven potential external evaluators and provide any information about potential conflicts by July 1. The RPT Advisory Committee will also develop a list of appropriate external reviewers. The RPT Advisory Committee Chair—after consulting with the Dean and any relevant faculty members within the College, and considering the list of potential evaluators submitted by the candidate and the Committee, as well as any information about any conflicts—will solicit no fewer than three external evaluations for each formal mid-probationary retention review, formal tenure and promotion review. At least one external evaluator will be from the candidate's list. The RPT Advisory Committee Chair will send potential external evaluators a standard solicitation letter, including notification of whether the candidate has or has not waived the right to see the evaluations, and will provide them with this document. External evaluators shall be asked to submit their evaluations no later than October 15.

The College will ordinarily provide the candidate's articles that have been completed during the candidate's service as a tenure-line faculty member to external reviewers, unless an earlier publication is circulated in lieu of an unpublished draft.

d. RPT File Contents and File Closing Date. A candidate's file will open no later than September 15 and close no later than October 15 (except for materials specified below as being added subsequent to the Advisory Committee meeting).

- 1) *Candidate Responsibilities for File Contents.* Prior to July 1, the candidate is obligated to submit to the RPT Advisory Committee Chair to place in the candidate's file: (i) a current vita, (ii) copies of publications and other forms of scholarly work, and (iii) a personal statement that specifies progress to date and describes current activities and future plans,

for the relevant criteria (research, teaching, and service). The candidate may similarly submit other relevant materials, including course evaluations from outside the University.

- 2) *College Responsibilities for File Contents.* The RPT Advisory Committee Chair shall ensure that the file includes: (i) current University of Utah course evaluation results, (ii) available SAC reports, (iii) any written recommendations from department faculty and staff, (iv) any reports from joint/shared appointment units, (v) external evaluator reports (treated as confidential as appropriate), (vi) peer teaching reviews, (vii) reports and recommendations from all past reviews, and (viii) all other required materials.

e. Candidate's Rights to Comment on File. A candidate has the right to submit a written response to any of their file contents no later than five business days after the file closing date.

f. Formal Review—College RPT Advisory Committee Meeting and Subsequent Steps.

- 1) *College RPT Advisory Committee Action.* The full RPT Advisory Committee will meet after receiving any report from an interdisciplinary program, if applicable, but no later than November 15. Each Committee member is responsible for reviewing the file prior to the meeting. The Committee will discuss the record as it pertains to each of the relevant criteria (research, teaching, and service). Unless the majority moves to an executive session to exclude non-voting participants per University Policy, the Dean may attend the meeting, and upon invitation by the majority of members, may participate in the discussion and submit evidence and opinions, but shall not vote on the Committee's recommendations. Committee members will vote by secret ballot separately on a recommendation as to each RPT action for each candidate (e.g., a vote on recommendation for tenure is taken and recorded separately from a vote on recommendation for promotion of that candidate).

Whenever possible, the RPT Advisory Committee Chair will advise all members on leave or otherwise absent of the proposed action and shall request their written opinions and votes in advance of the meeting. Absent members' written opinions shall be disclosed at the meeting and their votes will be counted and recorded the same as other votes.

The minutes of the meeting should reflect the nature of the discussion with major points on both sides revealed. Both affirmative and negative votes should be explained. From the minutes others should be able to get the sense of the discussion and not just a summary or the conclusions. The summary report of the meeting, including vote counts for each recommendation, should be signed by the person designated by the Committee Chair to serve as the Secretary, then approved by the Committee Chair, and then made available for inspection by the Committee members. After allowing an inspection period of not less than two business days nor more than five business days, and after such modifications as the Committee approves, the Secretary shall forward the summary report to the Dean and the candidate, along with a list of all faculty members present at the meeting.

The candidate is to be informed of the Committee recommendation by the Committee Chair as soon as possible. All Committee votes and deliberations are personnel actions and must be treated with confidentiality in accordance with University Policy and state and federal law. Members of the Committee are enjoined not to convey the substance or outcomes of committee deliberations to candidates. Candidates may not ask questions about the Committee's deliberations outside of the conversation the candidate has with the Committee Chair about the Committee's meeting and recommendation.

- 2) *Dean's Action.* After studying the entire file relating to each candidate, the Dean shall prepare their written recommendation with an exact copy to be provided to the candidate and included in the file on the retention, promotion, and/or tenure of each candidate, including specific reasons for the recommendation. The candidate will then have the option to provide, within seven business days, a written statement in response to the report of the Committee or the recommendation of the Dean.
- 3) *Actions and Appeals Procedures Beyond the College Level.* Subsequent procedures are described in University Policy.



## **Appendix A: RPT File Contents**

In order for the RPT process to operate effectively, and to ensure that all candidates receive the most accurate reviews possible, certain participants in the RPT process have responsibilities for placing certain materials in the file. All materials listed below are to be added by the file closing date, and are considered for the RPT Advisory Committee meeting. Additionally, the report of the RPT Advisory Committee meeting, recommendation of the Dean, and any candidate responses to either, are added subsequently.

### **Candidate's Responsibility**

It is the candidate's responsibility to provide the following documentation to the RPT Advisory Committee Chair for inclusion in the RPT file.

1. Curriculum Vitae. This should include at least the following:
  - a. All research publications since the candidate began their professional career. Please list inclusive page numbers and state if acceptance was based on blind review, or other selection method.
  - b. All conference papers presented and presentations given.
  - c. Grants and fellowships applied for and received.
  - d. Honors received for research.
  - e. All graduate student committees served on or chaired.
  - f. Individual student research supervised.
  - g. Teaching awards or teaching recognition received.
  - h. Service activities for the University, profession, and public.
2. Personal Statement. This document should detail accomplishments as well as future plans in research, teaching, and service, and include a description of teaching philosophy.
3. Copies of recent publications, including title page of authored or edited books.
4. Course syllabi for all courses taught (in the past year for informal reviews, since the previous formal review for formal reviews, and the most recent syllabus for all courses taught since appointment for tenure review) and such additional assignments, exams, and handouts the candidate chooses to include. The candidate should provide this information for the file early enough for Peer Teaching Reviewers, the Student Advisory Committee, and the RPT Ad Hoc Subcommittee to use this material for their reports.
5. Other relevant materials, such as a teaching portfolio, course evaluations from other institutions, or letters from faculty, staff, or interested individuals. If the candidate has had personnel from the Center for Teaching and Learning Excellence observe teaching or review teaching materials, the candidate may wish to include a resulting evaluation in the file.

6. Candidate response(s) to any other file contents, if desired.

### **College of Law's Responsibility**

It is the RPT Advisory Committee Chair's responsibility to include the following documentation in the candidate's RPT file, prior to the file closing date.

1. Reports of peer review of teaching materials and peer observations of teaching.
2. All student course evaluations at the University of Utah since the last formal review (with a maximum of five years required for post-tenure promotion to Professor). For formal reviews for tenure, all evaluations since appointment.
3. SAC report(s) (for the current formal review and all past formal reviews).
4. Any report received from a unit in which the candidate holds a joint or shared appointment.
5. Copies of all prior years' RPT files.
6. Other relevant materials, such as signed letters from faculty, staff, or interested individuals.
7. Evidence of faculty responsibility. This may include letters from the Dean, committee chairs, and others describing the candidate's service to the unit and commenting on professional conduct. If an administrative reprimand has been issued, that reprimand as well as the latest findings, decisions, or recommendations from University committees or officials arising from the concerns about the faculty member that led to the reprimand will be included in the candidate's file.
8. External Evaluator Letters (for formal reviews; kept confidential if the candidate has waived their right to read)
  - a. Signed form evidencing candidate's waiver or retention of right to read
  - b. Qualifications of evaluators, normally a brief Curriculum Vitae
  - c. Indication of who nominated each evaluator (candidate or RPT Advisory Committee Chair)
9. Report of RPT Ad Hoc Subcommittee.
10. Where the candidate's role in particular research is unclear, the RPT Advisory Committee Chair shall solicit letters from collaborators describing the candidate's contribution to the work.

**Appendix B: Senate Faculty Review Standards Committee and Senior Vice President Notices of Final Approval**

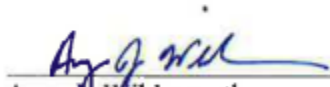
*Review Committee Approval:*



Lincoln L. Davies, Chair  
Senate Faculty Review Standards Committee

Date: 4/28/18

*Senior Vice President Approval:*



Amy J. Wildermuth,  
Associate Vice President for Faculty (designee)  
Academic Affairs

Date: 6/15/18

**Appendix C: Notices of Final Approval of Revision 1**

*Review Committee Approval:*



Trina Rich, SFRSC Committee  
Secretary

March 17, 2023  
Date

*Senior Vice President Approval:*



Sarah Projansky, Designee

March 24, 2023  
Date